

**Statewide Information Management Manual  
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# **SPECIAL PROJECT REPORT POLICY**



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**SIMM: Volume I, Policy 7.0**  
**SPECIAL PROJECT REPORT POLICY**

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## **Section 1**

### **POLICY STATEMENT**

After a state information technology (IT) project has been approved either by the department director or by the Department of Information Technology (DOIT), the department is responsible for conducting and completing the project according to the parameters of the approved Feasibility Study Report (FSR). Every effort must be made by the department to complete the project on-time and within the original budget. Significant exceptions to this policy will only be granted by the DOIT as a result of extenuating circumstances beyond the control of the responsible department. Enhancements to the original design and other activities which could result in significant budget increases must be proposed in subsequent phases accompanied by a new FSR.

If the department identifies a change that may be needed to assure successful project completion and the proposed change has been approved by the DOIT through a Project Change Request (PCR), the DOIT may direct the department to proceed with the submission of a Special Project Report (SPR). Departments may not implement a reportable change without prior SPR approval by the DOIT.

Further, if the project has a funding level change as a result of the Budget Enactment, and per the DOIT's direction, the department must submit an SPR to the DOIT before proceeding with the project.

The SPR must be prepared in accordance with the SIMM Volume II, Guideline 7.0: SPR. The SPR must provide the DOIT and the Department of Finance (DOF), if applicable, with detailed evaluation and impact information pertaining to the proposed change, and the anticipated effect of the proposed change on the project budget and schedule.

Upon completion of its review, the DOIT will issue its position on the SPR. The department is responsible for complying with the DOIT's final determination pertaining to the proposed project change.

This revised policy is effective as of **May 1, 1998**.

#### **1.0 PURPOSE**

The purpose of an SPR is to provide the detailed information needed by the department, the DOIT, or the DOF to assess a proposed change to a State IT project and to ensure that State IT projects are being rigorously controlled in a manner to ensure taxpayer dollars are being spent in the most cost effective and efficient manner possible.

The SPR must address:

1. Identification of the proposed change.
2. The necessity and justification for the change.
3. The impact of the change in terms of costs, benefits, schedule, and meeting the project's business goals, objectives, and requirements.
4. A description of how the change will be incorporated into the project.

## **1.1 OVERVIEW**

The SPR is a detailed description of a proposed change to a previously approved state IT project. The SPR provides quantitative information to the department, the DOIT and the DOF, as applicable, concerning the proposed change. It enables the department and the control agencies to assess the merits of the proposed change and to make a final determination concerning the proposal prior to implementation of the change.

## **1.2 OBJECTIVES**

This policy's objectives are to:

- Define the responsibilities and tasks for the submission, review, and determination of SPRs;
- Define policy compliance for each specified level of responsibility;
- Establish the reporting criteria for SPRs.

## **1.3 RESPONSIBILITIES & TASKS**

The following are responsible for the tasks associated with this policy:

### **1.3.1 Department:**

1. Determine that a change is necessary to a previously approved project to enable the project to be successfully completed.
2. Determine that the proposed change meets the PCR reporting criteria of the PCR policy.
3. Postpone implementation of the proposed change until approved by the DOIT and the DOF, as applicable.
4. Prepare and submit the SPR, per the DOIT's direction or upon a funding level change as a result of the issuance of the final Budget Act or a legislative budget decision.

5. Assign a sequential departmental priority, where “1” represents the highest priority based on departmental fund source by fiscal year. If the SPR will be funded through multiple fund sources, prioritization must be based on the primary state fund source. On an annual basis, departments will be required to submit a project priority list. If an event occurs that causes a department to reprioritize projects, the department must submit a revised departmental priority list at the time of the SPR submission.
6. Respond accurately within five (5) working days to the DOIT’s requests for clarification during the DOIT and/or the DOF SPR review and evaluation periods.
7. Comply with the DOIT’s final determination on the SPR.
8. Report any change in funding levels to the DOIT within 30 days of the final Budget Act or a legislative budget decision.

### **1.3.2 Agency:**

1. Assign a sequential agency priority, where “1” represents the highest priority based on agency fund source by fiscal year. If the SPR will be funded through multiple fund sources, prioritization must be based on the primary state fund source. On an annual basis, agencies will be required to submit a project priority list. If an event occurs that causes an agency to reprioritize projects, the agency must submit a revised agency priority list at the time of the SPR submission.
2. Ensure that related SPR budget actions have the same relative order in agency prioritization.
3. Submit four (4) copies of the SPR to the DOIT.
4. Submit one copy of the SPR to the Office of the Legislative Analyst.
5. Submit any associated SPR budget requests to the DOIT.
6. Ensure sufficient and complete SPRs are provided to the DOIT in a timely manner to ensure a 60-day DOIT evaluation period.
7. Ensure that departments are complying with the DOIT’s final determination on the SPR.

### **1.3.3 DOIT:**

1. Forward two (2) copies of the SPR to the DOF for a DOF-Reportable project.
2. Evaluate the SPR and the impact of the proposed change on the project in that:
  - The need for the change has been established;
  - The project remains viable;

- The change is consistent with statewide IT policies and strategies;
  - The continued use of technology is appropriate and consistent with state IT strategies;
  - The business needs continue to be addressed;
  - The project will be able to successfully meet the modified project schedule and budget.
3. Request clarification and SPR revisions from the department when specific areas of the SPR do not meet state policy, SPR guidelines, and/or additional information is needed.
  4. Meet the 60-day SPR review and evaluation timeframe.
  5. Issue a determination and statewide IT prioritization to the department and the DOF to either support or not support the SPR for a DOF-reportable project.
  6. Respond timely and accurately to the DOF's requests for clarification on a DOF-reportable project.
  7. Issue a final determination to the department to either approve or deny the SPR.
  8. Upon departmental notification of an SPR funding level change based on the final Budget Act or a legislative budget decision, issue a written response to the department within 60 days.

#### **1.3.4 DOF:**

1. Request clarification and SPR revisions from the DOIT and/or the department when specific areas of the SPR do not meet state policy, SPR guidelines, and/or additional information is needed.
2. Respond timely to the department and the DOIT in making the final determination of the SPR on a DOF-Reportable project.<sup>1</sup>

### **1.4 EVIDENCE OF COMPLIANCE**

#### **1.4.1 Department:**

To demonstrate compliance to this policy, department management must:

1. Determine if the proposed project change meets the PCR reporting criteria.
2. Submit the SPR after receiving PCR approval and direction from the DOIT.

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<sup>1</sup> For additional information concerning the DOF's policies, see the DOF's State Administrative Manual's (SAM) sections and appropriate Budget Letters.

3. Prepare and submit the SPR for funding level changes as a result of the issuance of the final Budget Act or a legislative budget decision.
4. Assign a department priority to the SPR as specified above.
5. Submit the SPR to the agency for approval and prioritization.
6. Postpone implementation of the proposed change until receipt of the SPR approval.
7. Respond within five (5) working days to the DOIT and/or the DOF's requests for clarification.
8. Comply with the DOIT's final determination of the SPR.

#### **1.4.2 Agency:**

To demonstrate compliance to this policy, the agency must:

1. Assign an agency priority to the SPR as specified above.
2. Submit four (4) copies of the SPR to the DOIT.
3. Submit one copy of the SPR to the Office of the Legislative Analyst.
4. Submit copies of any SPR-related budget action to the DOIT.
5. Ensure departments are adhering to this policy.

#### **1.4.3 DOIT:**

To demonstrate compliance with this policy, the DOIT must:

1. Review SPRs that departments have been directed to submit.
2. Ensure two (2) copies of SPRs for the DOF-reportable projects are forwarded promptly to the DOF.
3. Adhere to specified review timeframes.
4. Assign a DOIT prioritization to SPRs that are DOIT-supported and DOF-reportable projects.
5. Issue a final approval of the SPR after notification from the DOF that funding for the project has been included in the budget.
6. Upon departmental notification of an SPR funding level change based on the final Budget Act or a legislative budget decision, issue a response within the specified timeframe.

#### **1.4.4 DOF:**

To demonstrate compliance with this policy, the DOF must:

1. Review SPRs that the DOIT has forwarded.
2. Issue a determination to support or not support DOF-reportable SPRs to the DOIT and the department.

### **1.5 REPORTING CRITERIA**

If the enacted budget includes a funding level for a project activity in variance with the level in the approved FSR/SPR for that activity, the department must consult with the DOIT and, upon the DOIT's direction, submit an SPR to the DOIT before proceeding further with the project.

If the proposed change meets one or more of the PCR reporting criteria, the change must be documented in a PCR and submitted to the DOIT for review and determination. Upon completion of its review and evaluation, the DOIT will direct the department as to whether or not to prepare and submit the SPR.

For more information concerning the PCR reporting criteria, please see the SIMM Volume II, Guideline 6.0: PCR.

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